
THE ELECTRONIC STAFF RECORD PROGRAMME



NATIONAL HEALTH SERVICE

ESR-NHS0051 GUIDE TO INTER AUTHORITY TRANSFER

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1. Document Control

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1.2. Reviewers

Name	Position
NHS Development Team	

1.3. Distribution

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1	Library Master	Project Library
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2. Contents

1. Document Control	2
1.1. Change Record	2
1.2. Reviewers	2
1.3. Distribution	2
2. Contents	3
3. Document Purpose	4
4. Index to This Guide and Other Key Material	4
5. Introduction to Functionality	5
5.1. Definitions	5
5.2. Prerequisites	5
5.3. The Automated IAT Process	7
5.4. Enhanced IAT Process – pre hire information	887
5.4.1. Occupational Health – Immunisations and Checks	887
5.4.2. National Competencies – Statutory and Mandatory, CSTF and CCF	8
5.4.3. Reference request via IAT	11
5.5. Summary of both IAT Processes	15
5.6. IAT Best Practice – Key Points	19
6. Step by Step Guide	20
6.1. Setting up users for IAT	20
6.1.1. Supervisor setup	20
6.1.2. URP Allocation	20
6.1.3. Role Allocation	21
6.2. Initiating the Request	21
6.3. Selecting the Previous Employing Authority to receive the request/data from	22
6.4. Receiving workflow notifications	24
6.5. Matching IAT Request to employee record and approving request – Non Auto IAT process	25
6.6. Matching IAT Request to employee record and approving request –Auto IAT process	26
6.7. Receiving the Portable Data Set - Requesting Employing Authority	27
6.8. Completion Notification	28
7. Information contained in the Portable Data Set	303029
8. Transferring sickness absence history	33
9. NHS IAT Operations EIT	34
10. IAT Reports	353534
10.1. NHS IAT Operations Tracking Report	353534
10.2. NHS IAT PDS Full Details Report	363635
10.3. NHS IAT PDS Exceptions Report	39
10.4. NHS IAT Audit Report	40
11. Selected Error Messages	40
11.1. No IAT Approver at Previous Employing Authority	40
11.2. Time Out	41
11.3. No Match	41

3. Document Purpose

The purpose of this document is to provide a step by step guide to the Inter-Authority Transfer functionality within ESR.

4. Index to This Guide and Other Key Material

The following table lists other relevant documentation and training. Links are included to KBase, the repository of ESR knowledge and documentation. You will need to be logged into KBase via a web browser for the links to work. KBase can be found on https://www.electronicstaffrecord.nhs.uk/kbase/login/index_enter/

Item	Content
ESR User Manual	User Manual accessed via KBase
Reports Guide in KBase	Use standard reports guide to facilitate set up of correct information retrieval
Captivate Sessions	Captivate Sessions - IAT

5. Introduction to Functionality

The Inter-Authority Transfer (IAT) functionality within ESR is an automated process underpinned by Oracle Workflow. It is designed to remove the manual processes associated with NHS Staff Transfer Forms and therefore reduce the amount of data entry following the appointment of existing NHS staff from other NHS Organisations.

It should be used when an employee who works (or has worked) for one Employing Authority successfully applies to work for another Employing Authority.

The IAT process has been continuously enhanced to meet the needs of the NHS and there are now two ways in which the IAT process can function.

This guide details both of these processes 1) the automated approval process, known as Auto IAT and 2) the non-automated approval process.

Organisations have a choice in how they wish their data to be transferred to a requesting organisation and their preference can be changed at any time.

The Auto IAT process brings a number of additional benefits and is fully supported by the National User Group.

The Inter Authority Transfer process is intended to meet the following business requirements:-

- Remove the completion and mailing of paper Staff Transfer Forms between NHS Organisations.
- Reduce the staff transfer processing costs at Organisation level by automation of the process.
- Reduce the time delay in obtaining current NHS staff information following transfers.
- Improve the range and quality of data transferred between NHS Organisations.
- Facilitate the earlier production of Contracts of Employment as a result of more timely and accurate data transfer.
- Securely transfer immunisations and vaccination checks data at the pre-employment stage to Occupational Health Advisors.
- Transfer pre hire data related to statutory and mandatory competencies to aid induction programmes and remove duplicate training and associated costs.
- Assist in paying staff correctly from commencement of employment reducing the need for retrospective corrections.
- Enables the standard NHS Employers Reference to be sent to an applicant's previous employer for completion and returned to the requesting organisation electronically.

5.1. Definitions

The Previous Employing Authority (also known as the Approver) is the NHS Organisation that currently holds the employee record from which the Portable Data Set will be taken. Note that whilst the term Previous is used it is possible for the employee to remain with the Authority and have an additional position or positions with the Requesting Employing Authority.

The Requesting Employing Authority (also known as the Initiator) is the NHS Organisation that has 'offered' the employee a position and therefore wishes to receive a copy of the existing Portable Data Set from the Previous Employing Authority.

5.2. Prerequisites

The following pre requisites must be met before the IAT process can be used:-

- Both the Requesting Employing Authority and the Previous Employing Authority must be on ESR.
- For the automated IAT process to work, the employing authority that the IAT is being requested from, must have subscribed to the Auto IAT process at trust level using the Local Workstructures Administration URP.

- To allow the delivery of IAT Workflow Notifications and Actions, a minimum of one user in both the Previous and Requesting Employing Authorities must be assigned to the various roles and responsibilities as follows:

URP/ROLE →	URP	URP	Role	Role	Role	Role	Role	Role
PERSON/ADMIN ↓	IAT Initiator	IAT Approver	IAT Initiator Role	IAT Approver	OH Role	Stat/Mand Notifications Role	Reference Approver Role	Reference Receipt Role
Person who Initiates IAT Requests for the Organisation								
Person who approves non Auto IAT Requests from other organisations								
OH Administrator who should receive OH data								
Administrator who needs pre hire STAT/MAND/CSTF data								
HR Person who can approve reference requests via IAT								
HR Person who should respond to references received via IAT								

- The employee who is the subject of the IAT data request must have an ESR record on the Requesting Employing Authority before an IAT data request can be initiated. This could be either:
 - An Applicant record with the status of 'Offer Post Conditional/Offer Post Unconditional or Offer Accepted in ESR Recruitment.
 - An Employee record.
- If the employee has not been entered on the Requesting Employing Authorities database using ESR Recruitment some basic details must be entered i.e. Name, Gender, Date of Birth, and NI Number. This is through what is known as the 'Direct Hire' process and is where the person has not been hired via a recruitment process.
- The employee must have a status of 'Employee', 'Employee.Applicant' or 'Ex-Employee' in the Previous Employing Authority.
- The Portable Data Set (PDS) and the PDS detailed report can only be copied to an Employee record, not an Applicant record. This can only occur on or after the latest hire date on the Employee record. This excludes occupational health data which is transferred at the pre hire stage to the relevant Occupational Health Adviser and statutory and mandatory competency data which is transferred to the 'Stat & Mand Competencies Ntf' Role Holder.
- No future dated changes should exist for the Employee record in the Requesting Employing Authority. If changes do exist these will need to be actioned or removed for the transfer to be successful.

- Existing information in the Requesting Employing Authority's record will **not** be overwritten or updated, with the exception of CSD 3 month and 12 month date fields (where a calculation is applied) and statutory and mandatory competencies, where they have been subsequently updated following the pre hire IAT.

Caution is advised where there is a significant gap between dates of employment as personal data may be out of date.

5.3. The Automated IAT Process

The automated approval process enables the initiating authority to both initiate and approve the transfer of the Portable Data Set. This process will only be enabled where a 100% match has been found against the person's NI number, Date of Birth, Last Name or Professional Registration **AND** can be taken from the source trust where they have subscribed to the Auto IAT process. This is done by setting the Trust level **"Auto IAT Approval"** flag held in Work structures to 'Yes'. The setting of this approval flag confirms that the organisation authorises their data being transferred without the need for further approval from their IAT Approvers.

The Auto IAT Approval Flag in Work structures

This process means that IAT requests can be managed by the Requesting Authority, removing the time-outs and delays experienced in the non-Auto IAT process. It also enables the approval for the PDS to be copied on the same day as the request for new employees. The automated approval process also ensures that the pre IAT datasets related to Occupational Health, Statutory and Mandatory and CSFT competencies are transferred at the point of the Auto IAT approval. See Section 5.4 below.

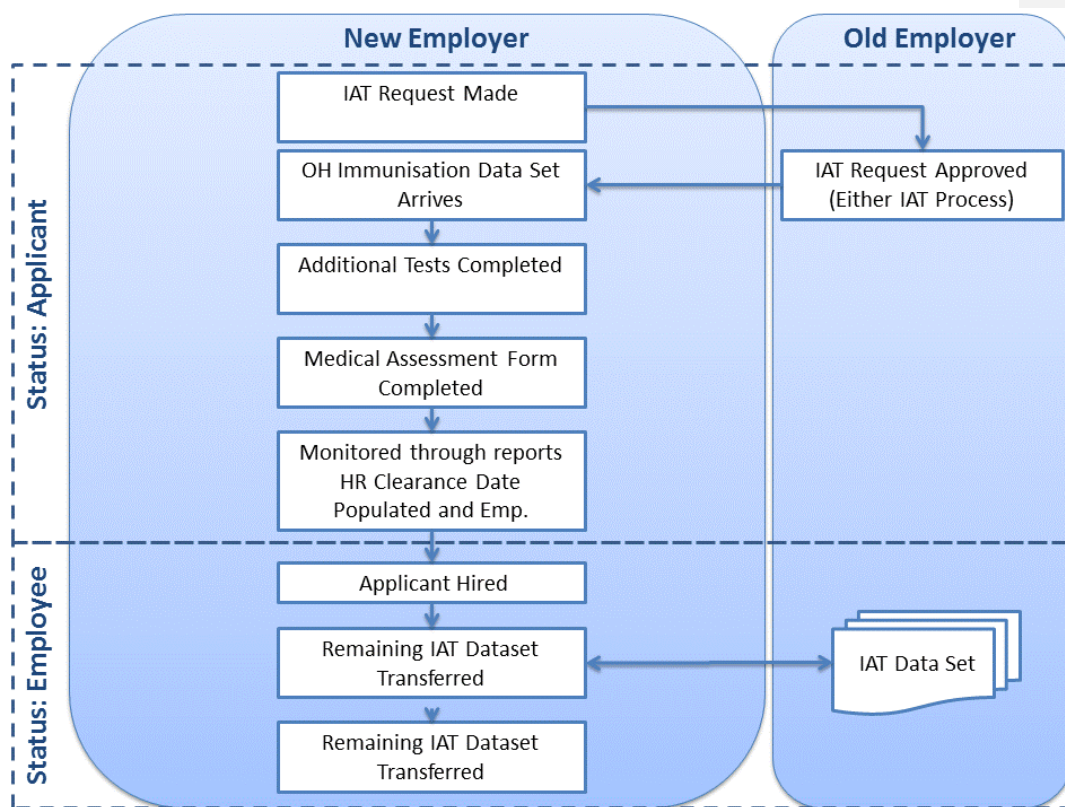
The non-Auto IAT process will remain in place for records where a 100% match is **not** found. Users can continue to use that process as they will be prevented from accessing the Auto IAT process.

Where the Auto IAT process is used, the forms that appear will differ to the non-Auto IAT forms. This is because the matching is done automatically.

5.4. Enhanced IAT Process – pre hire information

5.4.1. Occupational Health – Immunisations and Checks

Using the IAT Initiation and Approval process at a pre-employment stage enables Occupational Health Data to be transferred from one organisation to another. There is no change to the IAT Request and Approve process, and the IAT Users are not able to see the OH data that is transferred. This can only be viewed via the OH Admin Notification Role. See Schematic below



It is important that both IAT Initiators and Occupational Health Administrators understand the need for the IAT request to be made at the pre-employment stage of the applicant lifecycle. This will ensure that the Occupational Health IAT dataset will be available to Occupational Health users prior to hire, enabling them to progress the applicant's medical clearance.

For staff that have been directly hired, then the Occupational Health data will be transferred at the Portable Copy Data Set (PDS) stage.

Refer to the 'Guide to ESR Occupational Health Functionality for more details which is held on KBase

5.4.2. National Competencies – Statutory and Mandatory, CSTF and CCF

The ESR IAT process enables trusts to receive and amend details about any statutory and mandatory ,CSTF and CCF competencies a person has following the IAT Initiation and Approval process used.

A pre IAT FYI Notification will be sent to the 'Stat & Mand Competencies Ntf' Role holder for action. This is similar to the way the pre IAT notification is directed to the OH Administrator at the pre hire stage.

If the Trust has no users in the Stat & Mand notification role then the competences will be transferred as part of the PDS Copy and no changes will be possible.

This occurs when the Applicant has one of the following statuses:

- Offer Accepted
- Preferred Applicant
- Offered Post Unconditionally
- Offered Post Conditionally

Example Notification

NHS TRD2 Workflow

Worklist >

IAT Update Competence Message for Miss Lydia Moore21

To: XXGHR_IAT_ADHOC_COMP_APPROVER17
Sent: 07-Jan-2015 13:29:32
ID: 390553

Inter Authority Transfer - National Competencies.

507 ESR Hospitals NHS Trust have given approval for the update of the following National Competencies for the following person to take place.

Last Name: Moore21
First Name: Lydia
Title: Miss
Applicant Number: 17747
Employee Number:

Position Number: 88080
Role: Staff Nurse
Staff Group: Nursing and Midwifery Registered
Organisation: 508 Ward 10

Competency Name	Proficiency Level	Valid from	Valid To	Date Last Awarded	Awarded By	Title
NHS(MAND)Health and Safety - 3 Year		01-Jan-2012	31-Dec-2015			
NHS(MAND)Fire Safety - 3 Year		01-Jan-2012	31-Dec-2015			

Action History

Num	Action Date	Action	From	To	Details
1	07-Jan-2015 13:29:32	Submit	SEJSHER	XXGHR_IAT_ADHOC_COMP_APPROVER17	

References

[Competence Update Form](#)

[Return to Worklist](#)

☐ display next notification after my response

Approve Reject Reassign

The Notification will be triggered when the IAT request is approved in either of the IAT processes.

This notification will detail any competencies with a national framework type of MAND, CSTF or CCF that the applicant has, all competence Requirements for the Position the Applicant is being hired into and any competencies that the Applicant may already have in the Target Employment Authority

The role holder must approve, reject or edit the competencies being transferred (by clicking the Update Competence Form link on the notification). If a role holder does not carry out any action then the competencies will not be transferred.

Example of the Competence Update Form:

SAT Competence Management

Approve and SubmitCancel

Applicant Details

Last Name

First Name

Title

Applicant Number

Employee Number

Position Number

Role

Staff Group

Organization

Bernard

Charles

Mr.

23

12009

Staff Nurse

Nursing and Midwifery Registered

T33 Ward 15

Competency Information

Only selected rows will be transferred

Select AllSelect None

Select Type

Competence Name

Proficiency Level

Valid From

Valid To

Date Last Awarded

Awarded By

Title

☒

SAT NHS(MAND)Conflict Resolution - 3 Year

3

01-Apr-2013

01-Apr-2016

User

☒

SAT NHS(MAND)Safeguarding Children Level 1 - 3 Year

3

08-Jan-2012

07-Jan-2015

User

☒

SAT NHS(MAND)Safeguarding Adults Level 1 - 3 Year

3

08-Jan-2012

07-Jan-2015

User

☒

SAT NHS(MAND)Moving and handling - 2 Year

2

06-Jan-2013

05-Jan-2015

User

☐

NHS(MAND)Conflict Resolution - 3 Year

3

☐

NHS(MAND)Fire Safety - 2 Year

2

☐

NHS(MAND)Health and Safety - 2 Year

2

☐

NHS(MAND)Infection Control - Level 2 - 1 Year

1

☐

NHS(MAND)Moving & Handling for People Handlers - 2 Year

2

☐

NHS(MAND)Safeguarding Children Level 2 - 3 Year

3

☐

NHS(MAND)Safeguarding Adults Level 2 - 3 Year

3

Competency Requirements for the position

Competence Name

Low

High

Essential

Date From

Date To

NHS(MAND)Conflict Resolution - 3 Year

N

01-Jan-1951

NHS(MAND)Fire Safety - 2 Year

N

01-Jan-1951

NHS(MAND)Health and Safety - 2 Year

N

01-Jan-1951

NHS(MAND)Infection Control - Level 2 - 1 Year

N

01-Jan-1951

NHS(MAND)Moving & Handling for People Handlers - 2 Year

N

01-Jan-1951

NHS(MAND)Safeguarding Adults Level 2 - 3 Year

N

01-Jan-1951

NHS(MAND)Safeguarding Children Level 2 - 3 Year

N

01-Jan-1951

Current Competency Details for the person

Competence Name

Proficiency Level

Valid From

Valid To

Date Last Awarded

Awarded By

Title

Last Updated By

No results found.

Approve and SubmitCancel

Once the competencies have been approved or edited via the form and submitted, no further changes can be made to competencies with the above national framework types and any updates made at the source organisation will not be included in the PDS Copy.

Note: It is important that at least one person is assigned the ‘Stat & Mand Competencies Ntf’ Role, otherwise no competencies will be transferred at the pre hire stage. In this situation, all competencies will transfer to the new employer when the portable data set is transferred at the hire stage.

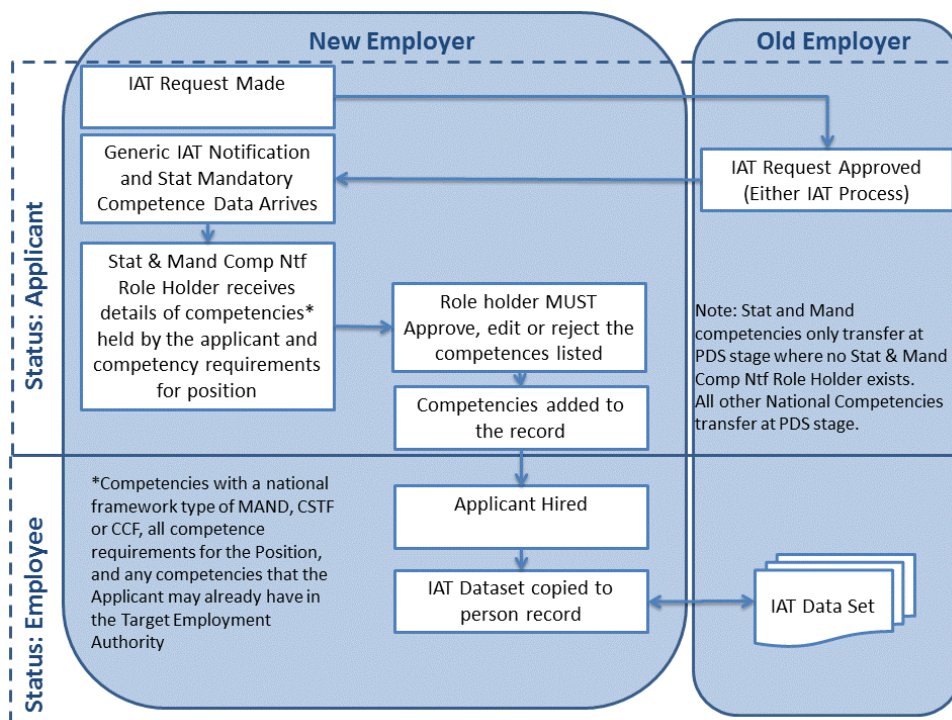
It is also possible to create local versions of the Stat & Mand Notification role. The role can be assigned to organisations using the Stat & Mand Competence Role field on the organisation DFF. Assigning a role to an organisation will assign it to all organisations beneath it in the organisation hierarchy, unless they are overwritten at a lower level.

Notifications for applicants to positions in organisations with a local role assigned will be sent to the local role holder for action.

Where an organisation has no override assigned to it, either directly or at any point above it in the hierarchy, then the national role will continue to be used.

See Schematic below:

Comment [ML1]: There are no further updates of Competencies where a user is in the Stat and Mand role. This document will require changing - I thought we had done this in a PowerPoint presentation



It is important that organisations understand the need for the IAT request to be made at the pre-employment stage of the applicant lifecycle. This will ensure that the statutory and mandatory competencies held by a person are available prior to their start date, allowing an appropriate induction to be arranged. It may also facilitate any training requirements to be structured around the new employees level of expertise and experience.

For staff that have been directly hired, then the data will be transferred only at the Portable Copy Data Set (PDS) stage.

5.4.3. Reference request via IAT

Users will be able to send a standard reference request to an applicant's current/last employer using the IAT functionality.

The standard reference request feature enables the IAT initiator to opt for the inclusion of a reference request, without impacting the existing IAT process. The reference is based on the templates outlined in NHS Employers guidance on obtaining Reference requests and employment history, issued in July 2013.

An optional tick box called '**Request Reference**' is located on the IAT Initiate Person Request form

The screenshot shows the 'IAT Person Restriction' form for the date 01-MAY-2014. The form contains a table with the following data:

Full Name	Type	Title	NI Number	Date Of Birth	Sex	Known As	First Name
Pitstop, Lady Penelope	Applicant	Lady	NE123456D	01-JAN-1980	Female		Penelope

At the bottom of the form, there are three buttons: 'IAT Request', 'Auto Person Match', and 'Request Reference'. The 'Request Reference' button is highlighted with a red box and has a checked checkbox next to it.

Only available for Applicants, the Request Reference tick box will send a notification to the selected Organisation once the IAT is submitted and approved.

Once the IAT request has been approved, the reference request will be delivered via a Notification, to a new Role called '**Reference Approver**' in the Source Organisation.

The screenshot shows the 'ORACLE Requests' Worklist. At the top, there's a navigation bar with 'Navigator', 'Favorites', and links to 'Diagnostics', 'Home', 'Logout', 'Preferences', and 'Help'. Below this, a 'Worklist' section includes a 'View' dropdown set to 'Open Notifications' and a 'Go' button. There are buttons for 'Select Notifications', 'Open', 'Reassign', and 'Close'. A table lists notifications with columns for 'Select From', 'Type', 'Subject', 'Sent', and 'Due'. One notification is visible: 'NHS IAT Reference Request' with the subject 'Request for Standard Reference Information for LADY Penelope Pitstop from T05 Blackpool, Fylde and Wyre Hospitals NHS Trust', sent on '24-Jun-2014'. Below the table, there are two green checkmarks with labels: 'TIP Vacation Rules - Redirect or auto-respond to notifications.' and 'TIP Worklist Access - Specify which users can view and act upon your notifications.'

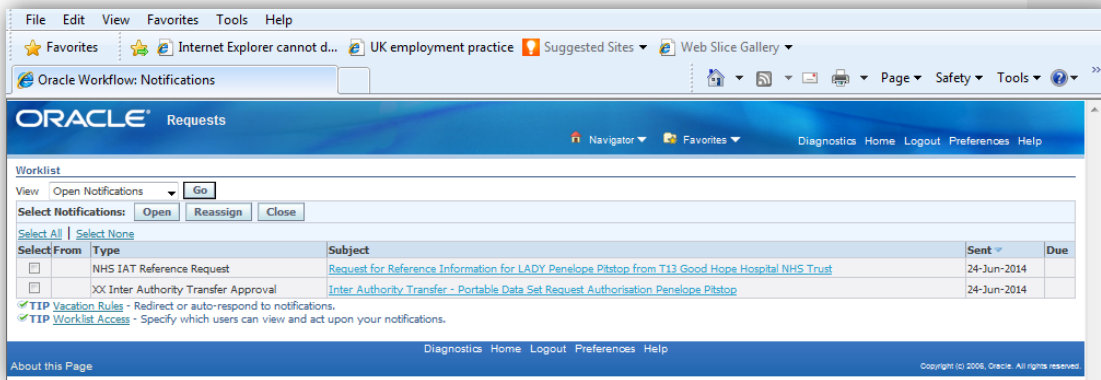
Upon receipt of a reference request the Reference Approver role holder will be presented with a standard reference form pre-populated with a number of fields from ESR.

They will then have the ability to review, validate and amend any information contained on the Standard Reference Request. They will be able to add any additional supporting information where required or this is not available from ESR.

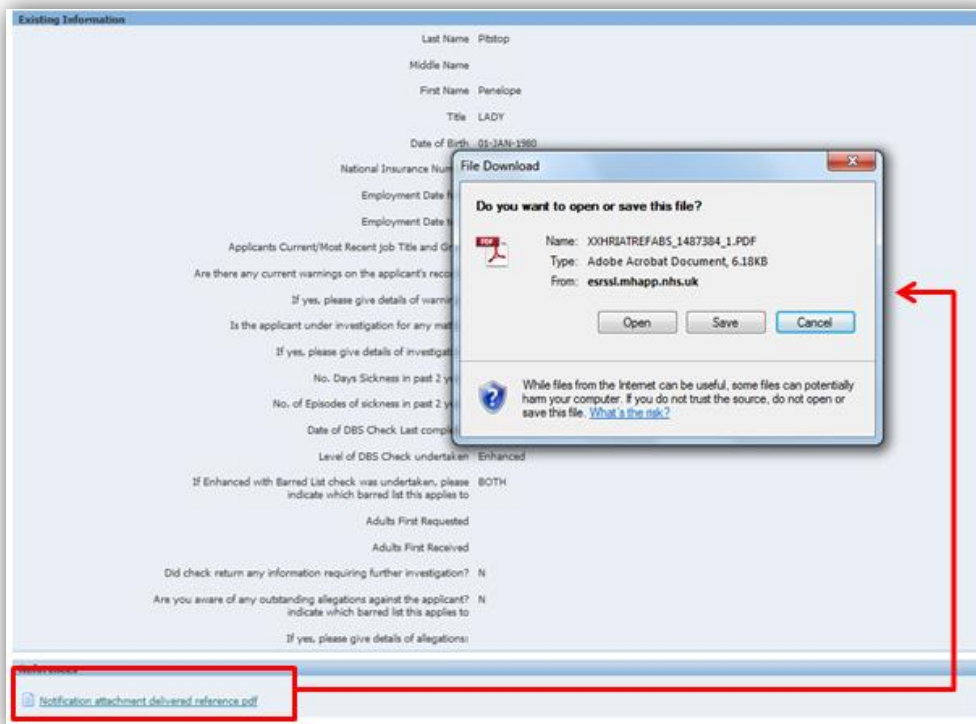
Upon completion of the reference, the first responder to approve the notification will send a notification back to the requesting

Organisation which is delivered to the '**Reference Receipt**' role. Once approved other copies of the reference request will be closed.

The screenshot shows the 'ORACLE Requests' form for a 'Request for Standard Reference Information for LADY Penelope Pitstop from T05 Blackpool, Fylde and Wyre Hospitals NHS Trust'. The form has tabs for 'Approved', 'Rejected', and 'Reassign'. It includes an 'Action History' table with columns for 'Item', 'Action Date', 'Action', 'From', 'To', and 'Details'. Below this, there's a section for 'Please review and amend as appropriate the information held within ESR for:' with fields for 'Title', 'Last Name', 'Middle Name', 'First Name', 'Title', 'Date of Birth', 'National Insurance Number', 'Employment Date from', and 'Employment Date to'. A section titled 'Existing Information' contains pre-filled data: Last Name: Pitstop, Middle Name: Penelope, First Name: LADY, Date of Birth: 01-09-1980, National Insurance Number: N6234567, Employment Date from: 01-09-2011, Employment Date to: 31-08-2013, Applicants Current/Next Recent job Title and Grade: 33335(ABC Grade 3)(22A)(Administration) - NHS(CR2)(A & C Grade 3), No. Days Sickness in past 2 years: 0, No. of Episodes of sickness in past 2 years: 0, Date of DBS Check last completed: 08-JUN-2013, Level of DBS Check undertaken: Enhanced, If Enhanced with Banned List check was undertaken, please indicate which banned list this applies to: Adult First Requested, Adult First Received. A 'Response' section contains fields for 'Employment date from', 'Employment date to', 'Applicants Current/Next Recent job Title and Grade', 'No. Days Sickness in past 2 years', 'No. of Episodes of sickness in past 2 years', 'Are there any current warnings on the applicant's record?', 'If yes, please give details of warnings', 'Is the applicant under investigation for any matter?', 'If yes, please give details of investigation', 'Date of DBS Check last completed', 'Level of DBS Check undertaken', 'Enhanced with Banned List Check undertaken?', 'Adult First Requested', 'Adult First Received', 'Did check return any information requiring further investigation?', 'Record/Outstanding Allegations?', 'If yes, please give details of allegations', 'Contact Name', 'Contact email', and 'Contact Telephone Number'. At the bottom, there are 'Return to Worklist' and 'Display next notification after my response' links, and 'Approved', 'Rejected', and 'Reassign' buttons.



The notification received by the Reference Receipt role holder contains both a summary of the reference details and within the attached PDF, the full reference details, which should be saved in a secure location locally. The notifications remain open for 45 days before being purged.



The Reference Receipt holder will get the following notification and are able to open a PDF document containing the full details of the reference. The PDF reference is detailed below.

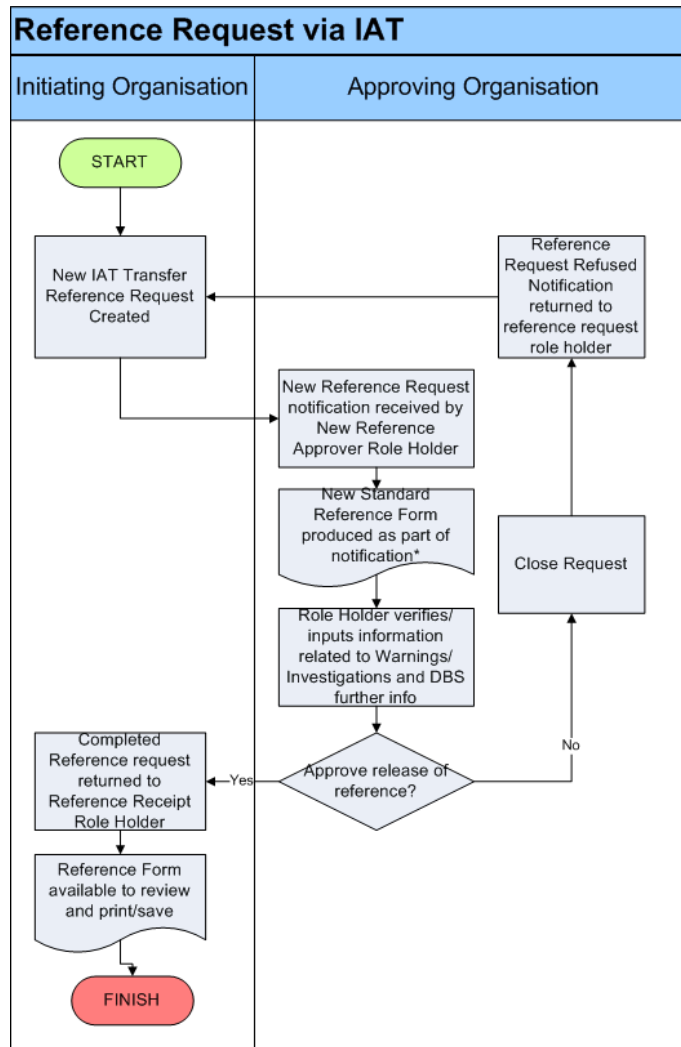


CONFIRMATION OF EMPLOYMENT (WITH SICKNESS ABSENCE) REQUEST		
Last Name	Pitstop	
First Name	Penelope	
Middle		
Title	LADY	
National Insurance Number	NE123456D	
Date of Birth	01-JAN-1980	
Employment Dates	From: 01-JUN-2011	To:
Applicants Current/Most Recent job Title and Grade	33155 A&C Grade 3 G2A Administration - NHS CR21 A & C Grade 3	
1. How many days Sickness has the applicant had over the past two years, And in how many episodes	10 3	
2. Are there any current Warnings on the applicant's record?	Y	
Details of Current Warnings		
Verbal warning for poor timekeeping		
3. Is the Applicant currently under investigation for any matter (inc. conduct, Capability or Performance) under any of your employment policies?	Y	
If yes, please give details:		
Disciplinary in progress regarding fighting with the car park attendant.		
4. Please provide details of when you last completed a DBS check		
- Date when DBS check was last completed	08-JUN-2013	
- Please indicate the level of DBS check undertaken (Standard/Enhanced/ or Enhanced with Barred List check)	Enhanced	
- If Enhanced with Barred List check was undertaken, please indicate which barred list this applies to	BOTH	
- Did the check return any information that required further investigation	N	
5. Are you aware of any recent/outstanding allegations that were made against the applicant that relate to any safeguarding issues/referrals (including any referrals to the DBS)	N	
If yes, please give details:		
6. The answers given above have been provided in good faith and are correct to the best of my knowledge and Belief.		
Referee name (please print): Mary Reference	Telephone number: 0113 4568763	
Email address : mary.ref@nhs.net	Date : 24-JUN-2014	

**Data Protection**

This form contains personal data as defined by the Data Protection Act. This data has been requested by the Human Resources/Workforce Department exclusively for the purpose of recruitment. The human Resources/Workforce Department must protect any information disclosed within this form and ensure that it is not passed to anyone who is not authorised to have this information.

The following flowchart gives a high level overview of how the process will work.



5.5. Summary of both IAT Processes

Non Auto IAT

At the end of the recruitment process (either using ESR Recruitment or the Direct Hire route) the Requesting Employing Authority will request the transfer of the employee's Portable Data Set from the employee's current or previous employer (Previous/Existing Employing Authority).

The initiation of this request by the IAT Initiator at the Requesting Employing Authority generates a notification at the Previous Employing Authority.

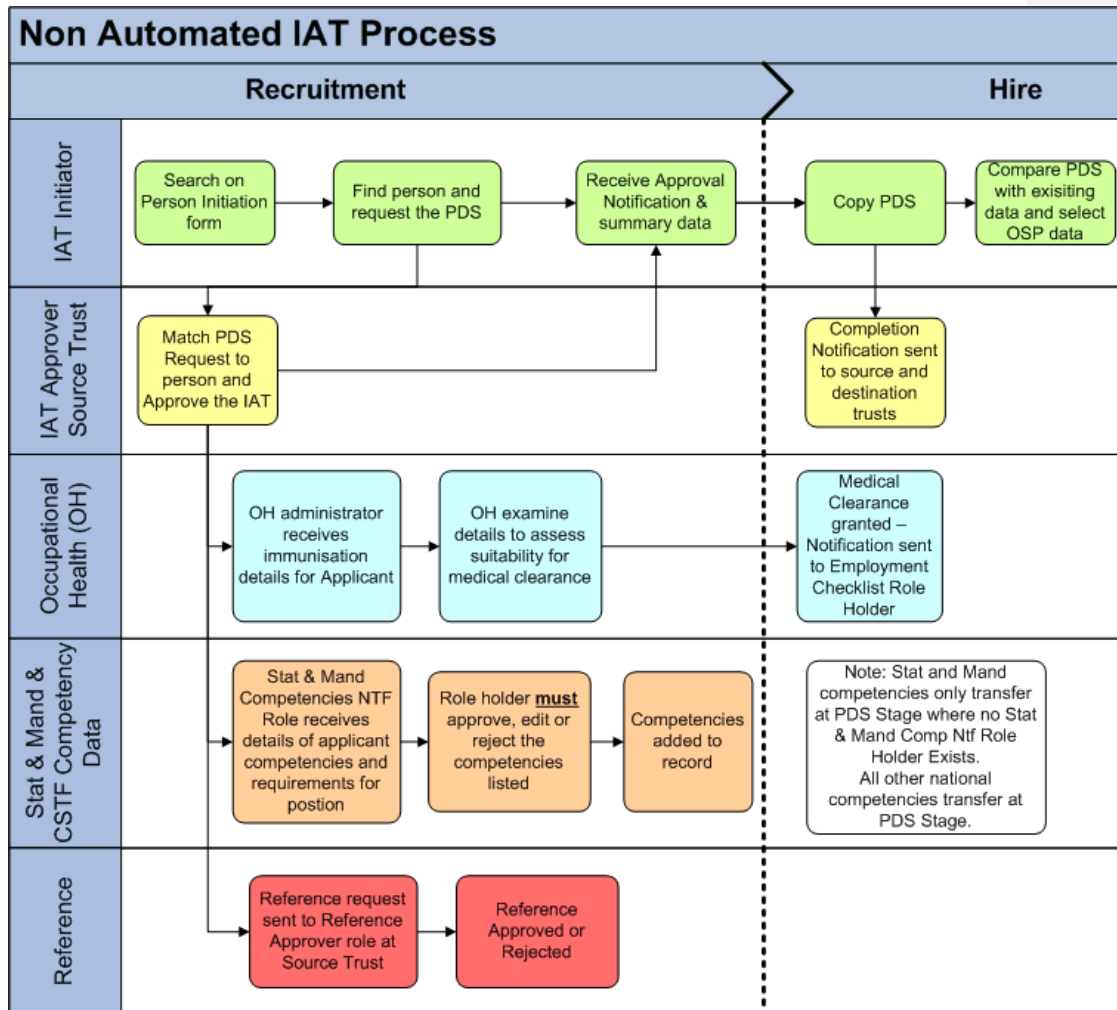
On receipt of this notification, the nominated IAT Approver in the Previous Employing Authority identifies the relevant employee record. The matching of employee records is based on a number of identifiers (NI Number, Registration Number etc. See section 6.5 of this document for more information).

Following a successful match, the IAT Approver in Previous Employing Authority will then authorise the transfer of the Portable Data Set (PDS) to the Requesting Employing Authority. This generates a workflow notification back to the IAT Initiator Role Holders in the Requesting

Employing Authority. This notification includes summary information to enable confirmation that they have transferred information for the correct employee. The Portable Data Set (PDS) can then be copied once the person is an employee.

The above steps are triggered by the actions of the IAT Initiator and Approver. However the next and final stage of the process – the copying of the full Portable Data Set – **can only be performed when the employee has commenced in their role.**

The following diagram illustrates the process.



Note: As defined above

- IAT Initiator = the Requesting Employing Authority
- IAT Approver = the Previous Employing Authority

Auto IAT

The process is the same as the non Auto IAT except that there is no liaison between the initiator at the requesting authority and the approver at the authorising authority. The Auto IAT flag set to 'Yes' at 'Trust' level replaces the IAT approver's role.

Instead the initiator at the requesting authority will initiate a search on the 'Requested IAT Person Matching' form. The matching process is done in two stages.

Stage 1 – Initial matching criteria - If a match is found in ESR against the person's NI Number and DOB, then the 'Auto Person Match' button will become active and initial matching records will appear for selection.

The Auto Person Match button becomes active when a match is found on the person's NI Number and DOB. Select the correct person record.

The IAT initiator should select this button to bring up the employee match form below

Tick the Request Reference Box if you also wish to include a reference request from this current/previous employer. See section 5.4.3. above for more information

Note: A reference can only be requested for an Applicant.

Stage 2 – Final Matching Criteria and Auto IAT Opt in - If the final matching criteria of either last name or professional registration (100% match) is found in ESR, then the Auto IAT process is activated and matched records will appear in the 'Automated IAT Person Matching' form.

The person matching form will list any records where the final match on last name or Professional Registration Body & Number is made. This completes the 100% person matching criteria.

This request will be recorded, before proceeding please ensure that the person for whom the request is being made has given their permission for their personal data to be transferred electronically. Press Yes to initiate the transfer process from the chosen trust(s), press No to return to the request screen.

a

Note: If there is no match on this final search criteria then there will be no 'matched records' to select from. The user should cancel and use the non automated IAT process.

If the matched record belongs to an organisation that has **not** opted out of the automated approval process, then the initiator will be able to request the transfer and receive the 'Requested IAT Person Confirmation' form (see below) that subsequently appears. If the initiator is happy with the match then they click the 'Yes' button to trigger the authorisation notification which enables them to copy the portable data set when the person becomes an employee.

This final approval also triggers the pre hire data sets and the reference request process.

Requested IAT Person Confirmation

Transfer Confirmation

	Matched Person	Requested Person
Last Name	Pitstop	Pitstop
First Name	Penelope	Penelope
Known As		
Title	Lady	Lady
Date of birth	01-JAN-1980	01-JAN-1980
National Insurance No	NE123456D	NE123456D
Professional Registration		
Actual Termination Date		
Employee Number	20002160	
Latest Start Date	01-JUN-2011	

Authorisation

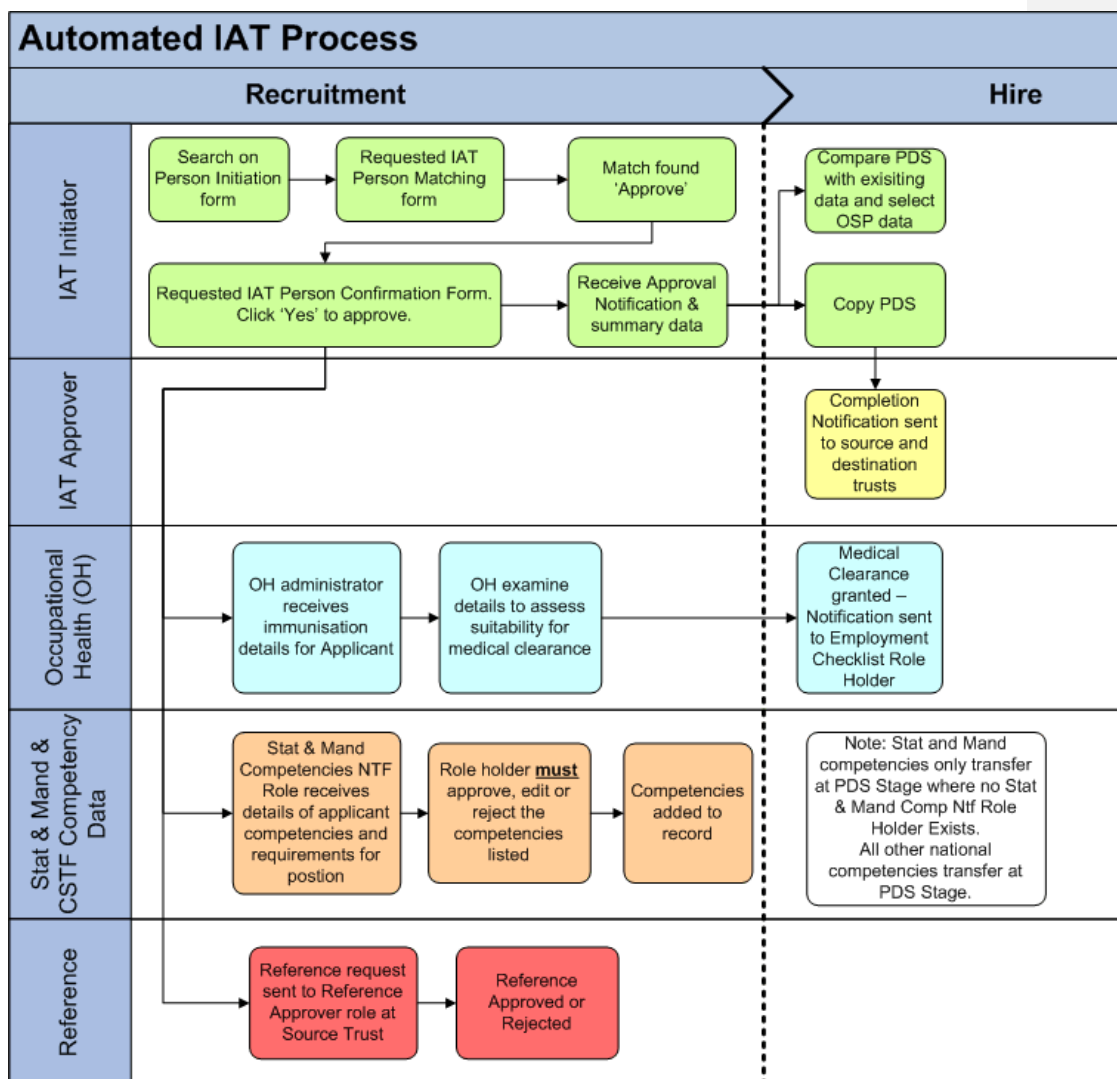
Are you certain that these two person records are the same?
If you are certain and you wish to proceed with the Inter Authority Transfer authorisation then please press 'Yes', otherwise click 'No' to return to the matching form

Yes

No

If they try to click the 'Approve' button against a trust that has opted out then an error message will appear and the initiator will need to use the Non Auto IAT process.

The following diagram illustrates the Automated IAT Approval process.



5.6. IAT Best Practice – Key Points

- Subscribe to the Auto IAT process
- Embed the IAT process into the recruitment procedure.
- Start the initiation process at the 'Offered Post Conditional' stage – to allow for any delays from approving trusts not using Auto IAT
- Ensure that there are robust local procedures for responding to the incoming IAT requests if your trust does not subscribe to the Auto IAT process
- IAT Initiator and an IAT Approver role must be set up in both the Previous and Requesting Employing Authorities
- Reference Approver/s and Reference Receipt roles must be set up in the Previous and Requesting Employing Authorities
- Set the supervisor field in the assignment record of every user that has been given the IAT Approver Role. If a notification has not been responded to by the IAT Approver, after 6 days the notification will move to the IAT Approver's supervisor. This does not apply in the case of Auto IAT as no response is required.

6. Step by Step Guide

6.1. Setting up users for IAT

An IAT Initiator and an IAT Approver must be assigned in both the Previous and Requesting Employing Authorities. This applies to both IAT processes.

There are two aspects to this:-

1. URP Allocation. There are two IAT User Responsibility Profiles
 - a) The **IAT Initiator URP** is used by the Requesting Employing Authority to request the IAT Portable Data Set from the Previous Employing Authority. It is also used to check OSP entitlement.
 - b) The **IAT Approver URP** is used by the Previous Employing Authority to match data requests from Requesting Employing Authorities to employee records and release their IAT Portable Data Sets for non Auto IAT requests. They also receive the completion notification where their data has been transferred under the Auto IAT process.
2. Role Allocation.
 - a) At the Previous Employing Authority the IAT Approver will need to be assigned the **IAT Approver Role** to receive data request notifications from Requesting Employing Authorities to release their IAT Portable Data Sets where the organisation has opted out of the Auto IAT process.
 - b) Both the Initiator and the Approver need to be allocated to the **IAT Approver role**.
 - c) IAT Initiators will need to be allocated to the **IAT Initiator Role** to ensure that they receive the workflow notifications related to non Auto IAT requests. Anyone attached to this role can view and action notifications received. It is advisable to have at least two IAT Initiator Role holders to ensure there is adequate cover arrangements during staff absences, ensuring notifications are dealt with promptly.
 - d) See 6.1.3 below for instructions on how to allocate the IAT Approver and Initiator Roles.

6.1.1. Supervisor setup

Another factor to consider is the supervisor field setup. If a notification has not been responded to by the IAT Approver after 6 working days the notification will move to the IAT Approver's supervisor. If no response is received after a further 2 working days then the IAT request will time itself out. Details on the IAT status are available in the IAT Status Report. See section 10 of this document for further details. **This does not apply where the Auto IAT process is used.**

If the Trust has not yet set up a supervisor hierarchy, the Trust should populate the supervisor field for all users that have been assigned the IAT Approver Role.

6.1.2. URP Allocation

In the Local HRMS Systems and User Administration URP:

1. Navigate to Setup Users.
2. Search for the relevant user
3. Ensure that the correct employee record has been selected in the 'Person' field.. This is particularly important when the employee has a popular surname such as Smith, Singh, Brown etc.
 - The User must be an employee
 - This field must be completed to allow the user to receive the IAT notifications
4. Allocate the Inter Authority Transfer Initiator URP or Inter Authority Transfer Approver URP
5. Save the changes

Example Screen for URP Allocation is given below:

The 'Users' window displays the following information:

- User Name:** 504RBURDEN01
- Person:** Jimenes02, Miss Monica
- Status:** Active
- Effective Dates:** From 05-MAY-2011
- Direct Responsibilities:**

Responsibility	Application	Description	Security Group	Effective Dates (From)	Effective Dates (To)
504 e-Learning User	Human Resources		Standard	05-MAY-2011	
504 Inter Authority Transfer In	Human Resources		Standard	10-MAY-2011	
504 Inter Authority Transfer A	Human Resources		Standard	10-MAY-2011	

6.1.3. Role Allocation

1. Navigate to Maintain Roles
2. Select the IAT Approver and / or the IAT Initiator in Role Name column
3. In the Person column (Users tab) add the user identified above
4. Save the changes
5. Select the Reference Approver and Reference Receipt in Role Name Column
6. In the Person column (Users tab) add the user identified above
7. Save the changes.

Example Maintain Roles Screen is given below:

The 'Maintain Roles' window displays the following information:

- Role Details:**

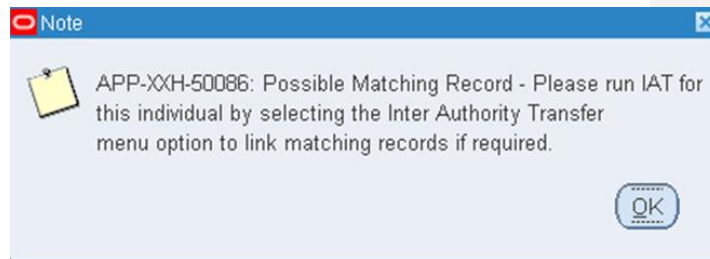
Role Name	Role Type	Further Information	Enabled
IAT Approver	HR Manager		✓
IAT Initiator	HR Manager		✓
Internet Access Approval	HR Manager		✓
Maternity Rtn Ntf - All	HR Manager		✓
Maternity Rtn Ntf - General	HR Manager		✓
- Users Tab:**

Person	User	Default Role	Benefit Role	Enabled
Leese01, Mrs. Vivian	504TRAIN01			✓
Leese02, Mrs. Vivian	504TRAIN02			✓
Leese03, Mrs. Vivian	504TRAIN03			✓
Leese04, Mrs. Vivian	504TRAIN04			✓
Leese05, Mrs. Vivian	504TRAIN05			✓

6.2. Initiating the Request

In the Requesting Employing Authority, the IAT request should be initiated when the applicant has a status of 'Offer Post Conditional' etc. A prompt will appear if a possible match is found, advising users to consider running the IAT process. It can also be requested after the applicant has been directly hired as an employee.

When creating a person record on ESR and a record with the same NI number exists in another VPD, the following note will be displayed.



This can be done by:-

1. Switch responsibility to - Inter Authority Transfer Initiation URP
2. Initiate IAT Transfer
3. Initiate Person Request
4. Search for the employee to be transferred
 - (Press F11 to enter query mode, enter a query and press Ctrl and F11 together to execute the query.)
5. Tick the 'Request Reference' box if you want a standard reference to be included in the process and which will be sent to the Reference Receipt role holder/s once approved by the source organisation
6. Click the 'Auto Person Match' button if active, otherwise click the 'IAT Request' button

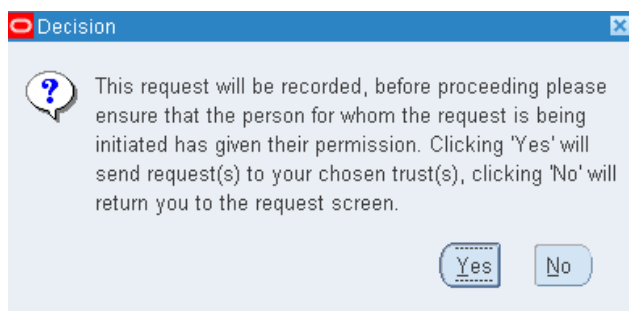
Full Name	Type	Title	NI Number	Date Of Birth	Sex	Known As	First Name
Pitstop, Lady Penelope	Applicant	Lady	NE123456D	01-JAN-1980	Female		Penelope

☐ Request Reference

6.3. *Selecting the Previous Employing Authority to receive the request/data from*

6.3.1. Auto IAT Process

1. Clicking the Auto Person Match button (enabled when there is a 100% match on last name or professional registration, NINO and DOB) will display the 'Automated IAT Person Matching' form.
2. Click into the row of the appropriate record. If the trust has subscribed to the Auto IAT process then you will be able to click the 'approve' button.
3. A message will appear asking you to confirm that the appropriate permission has been obtained



4. Click 'Yes' to submit request

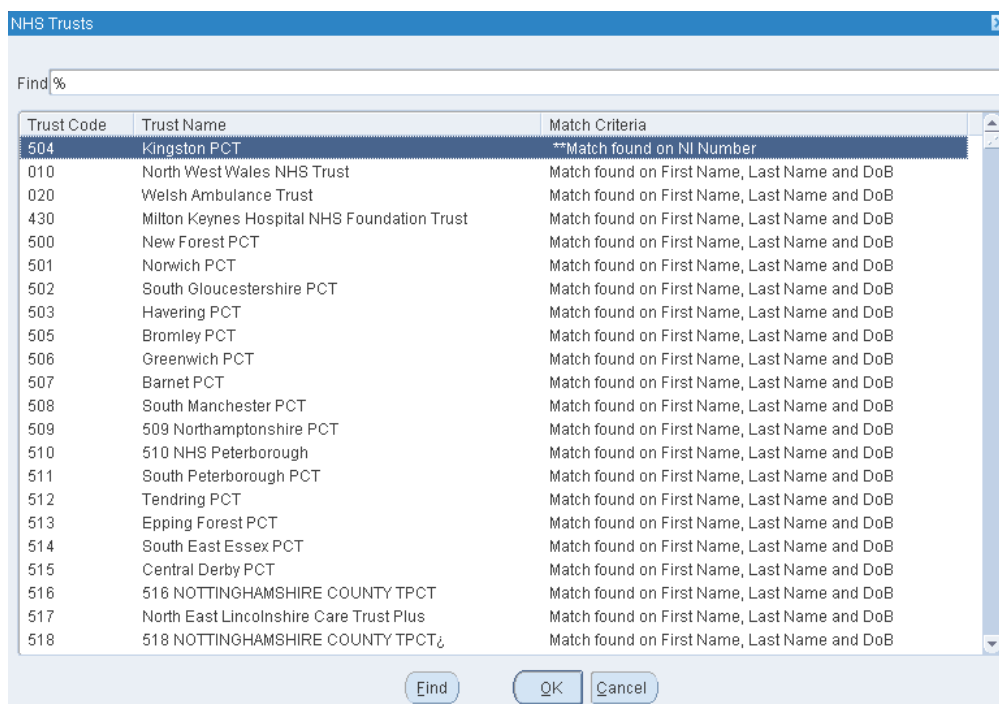
6.3.2. Non Auto IAT Process

- 1) Click the IAT Request button
- 2) This opens up the screen below - Click in the mandatory 'Trust' field. This opens up a list of trusts for selection. To reduce errors and aid the accurate selection of the appropriate trust, the list has the following matching priority order:
 - NI match
 - Name and DoB
 - Name only
 - Multiple different matches
 - All other VPDs in numerical order
- 3) Select the 'Trust' from the list of values. The VPD can also be checked against an ESR payslip provided by the employee from the Previous Employing Trust.
- 4) Add any comments (up to 150 characters) to provide more information
- 5) Submit Request
- 6) Workflow Notification sent to the IAT Approver role at the organisation selected for them to approve and send back to the IAT Initiator role at the requesting organisation.

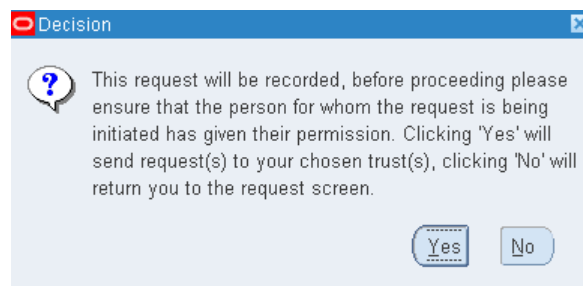
Selecting the previous employer in ESR

A screenshot of the 'IAT Request Person PDS Transfer' form. It has sections for 'Person' (Applicant Number, Full Name, Employee Number), 'Additional Information' (Contact Full Name, Contact Email, Contact Number), and 'Requested Trust' (Trust dropdown, Comment text area). At the bottom are 'Cancel', 'Clear', and 'Submit Request...' buttons.

Click into the trust field and the potential matches based on match criteria are listed.



A decision form will appear checking that the permission of the new starter has been obtained.



6.4. Receiving workflow notifications

A number of notifications are sent and the type depends on whether the Auto IAT or non Auto IAT process is used.

For the Non Auto IAT process Notifications:-

- Received at the Previous Employing Authority (allow at least 10 minutes from initiation)
- Can only be received by the nominated approver in the Previous Employing Authority. (If there is no approver an error message will be returned see 10.1 below)
- The Previous Employing Authority has 8 working days to respond to the request before it times itself out. After this period of time a message will be sent to the Requesting Employing Authority. (See 10.2 below.)

The System Message informing the user of a new notification is provided when a user initially logs in. The User can check for notifications at any time through the Workflow Notifications option under Requests Function.

For the Auto IAT process only the following Notifications are applicable:

- An Authorisation notification is sent directly back to the Initiator which enables them to copy the portable data set when the person becomes an employee. The process runs hourly, on the hour.
- A Completion Notification is sent – Once the information has been copied to the core system, both the Previous Employing Authority and Requesting Employing Authority will receive a completion notification

Notifications can be checked by:-

- Inter Authority Transfer Initiator or Approval URPs
- IAT Worklist Option

The user should now select the Notification and view the details. The Initiator's contact details are included. Included in the notification is a quick link to the IAT Person Matching form – this is located in the References section of the Notification. See below.

Non Automated IAT process

Inter Authority Transfer - Portable Data Set Request Faser CCN534-IAT-00001610

To: XXHR_IAT_ADHOC_IAT_APPROVER20
 Sent: 18-Nov-2009 11:22:26
 ID: 26088
 T10 Blackpool, Fylde and Wyre Hospitals NHS Trust have made an offer of employment to Faser CCN534-IAT-00001610 and they have Good Hope Hospital NHS Trust.

[Personalize Table Layout: \(NtfDetailsFn.NtfDetailsAttr.rightTable\)](#)

Initiator Details

Contact Name: CCN534-IAT-00000927, Miss Mair Helena (T10MHDEAR)
 Contact Number:
 Contact Email: mair.dear@xxdgen.co.uk
 Comments: Unit Test - CCN534 CR19234 SR 388674 - Item 1

Basic Appointee Details

Last Name: CCN534-IAT-00001610
 First Name: Faser
 Title: MR.
 Known As:
 Date Of Birth: 19-NOV-1952
 NI Number: EM071376B
 Professional Registration No (if applicable):
 Unique NHS Identifier: 2573

You are requested to allow the transfer of this information to T10 Blackpool, Fylde and Wyre Hospitals NHS Trust. T10MHDEAR has this data copy.

The attached link will take you to the IAT matching form.

References

[Employee Match Form](#)

6.5. Matching IAT Request to employee record and approving request – Non Auto IAT process

- Inter Authority Transfer Approval URP
 - IAT Person Match

The Matching form below will appear with details about the requested person. Click 'Find Matching Records'. Matches will be identified in NI Number, Professional Registration Number, Last Name, First Name and Termination Date (latest first) order.

Select the correct employee from the list available. When satisfied that a correct match has been made click 'Approve'. If the correct employee record cannot be identified click 'No Match Found' and a notification will be returned to the Requesting Employing Authority (see 10.3). Comments can be entered into the 'No Match Reason' field to provide information.

Requested IAT Person Matching

Requested Person

Reference: 4
 Title: MR.
 Last Name: CCN627
 First Name: Test03
 Known As:
 Date of Birth: 01-JAN-1951
 National Insurance No: AA627003A
 NHS Identifier: 138
 Professional Registration:

Potential Matches

	Last Name	First Name	Known As	Title	Date Of Birth	NI Number
<input type="checkbox"/>	CCN627	Initiator		MR.	01-JAN-1951	AA627000A
<input type="checkbox"/>	CCN627	Approver		MR.	01-JAN-1951	AA627000B
<input type="checkbox"/>	CCN627	Test01	Fred	MR.	01-JAN-1951	AA627001A
<input checked="" type="checkbox"/>	CCN627	Test03		MR.	01-JAN-1951	AA627003A
<input type="checkbox"/>	CCN627	Test06		MR.	01-JAN-1951	AA627006A

Find Matching Records Approve
 Cancel No Match Found No Match Reason:

A confirmation screen will appear. To confirm the match click 'Yes' and the Portable Data Set will be released to the Requesting Employing Authority. Click 'No' to return to the matching form.

Requested IAT Person Confirmation

Reference: 4

Transfer Confirmation

	Matched Person	Requested Person
Last Name	CCN627	CCN627
First Name	Test03	Test03
Known As		
Title	MR.	MR.
Date of birth	01-JAN-1951	01-JAN-1951
National Insurance No	AA627003A	AA627003A
Professional Registration		
Actual Termination Date		
Employee Number	20000169	20000160
Latest Start Date	01-JAN-2010	

Authorisation
 Are you certain that these two person records are the same?
 If you are certain and you wish to proceed with the Inter Authority Transfer authorisation then please press 'Yes', otherwise click 'No' to return to the matching form

Yes No

6.6. Matching IAT Request to employee record and approving request –Auto IAT process

Auto IAT enables the requesting and matching to be done automatically by the initiator at the requesting organisation. When the IAT Initiator clicks 'Yes' on the Person Confirmation form, this triggers the approval process and any occupational health and or national statutory and mandatory competency datasets will be transferred to the requesting organisation as well as sending the reference request where this was requested at the initiation stage.

6.7. Receiving the Portable Data Set - Requesting Employing Authority

After approval either by the Previous Employing Authority for non Auto IATs or using the Automated IAT process, the IAT Initiator or IAT Role Holder/s at the Requesting Employing Authority will receive the following workflow notification.

Note: Where the auto IAT process has been used then the notification will go directly to the Initiator and not IAT Initiator Role Holders

This is accessed by

- Inter Authority transfer Initiation URP
- Initiate IAT Transfer
- IAT Worklist

The screenshot shows the NHS FDEV Requests Worklist interface. At the top, there's a navigation bar with 'Diagnostics Home Logout Preferences Help Personalize Page'. Below it, the 'Worklist' section has a 'View' dropdown set to 'Open Notifications' and a 'Go' button. There are also 'Select Notifications' buttons: 'Open', 'Reassign', and 'Close'. A 'Select All' button is also present. The main table has columns: 'Select From', 'Type', 'Subject', 'Sent', and 'Due'. The table contains several rows of notifications. One row is highlighted with a red box: 'XX Inter Authority Transfer Approval' with the subject 'Inter Authority Transfer - Portable Data Set Request Authorisation Karina CCN627-IAT'. Below the table, there are two tips: 'TIP Vacation Rules - Redirect or auto-respond to notifications.' and 'TIP Worklist Access - Specify which users can view and act upon your notifications.'

Select From	Type	Subject	Sent	Due
<input type="checkbox"/> CCN627-IAT, Henry	HR WPM Plan	The plan T11 Brand New PMP is published	07-Jun-2011	
<input type="checkbox"/> CCN627-IAT, Henry			01-Jun-2011	
<input type="checkbox"/> CCN627-IAT, Henry	XX Inter Authority Transfer Approval	Inter Authority Transfer - Portable Data Set Request Authorisation Karina CCN627-IAT	19-May-2011	
<input type="checkbox"/> CCN627-IAT, Henry			16-May-2011	

Click on the 'Portable Data Set Request Authorisation' hyperlink in the **Subject** area of the notification that applies to your employee to open the Notification Details window.

If the Requesting Employing Authority is satisfied that this is the correct person the copy can be completed by clicking on the Perform Portable Data Set Copy button (shown on the following page). **This can only be completed for Employee records.**

The employee's record in the Requesting Employing Authority will be updated with the information contained in the Portable Data Set. This could take up to two hours and uses the latest data from the person's record, regardless of when the IAT was actually initiated.

For example – IAT initiated 1 February 2014 for an applicant – the applicant was hired 1st March 2014 and the PDS was copied 1st March. Data taken from the previous employer is as at the 1st March and not 1st February 2014 initiation date

NHS FDEV Requests

Diagnostics Home Logout Preferences Help Personalize Page

Worklist >

Inter Authority Transfer - Portable Data Set Request Authorisation Karina CCN627-IAT

Cancel Perform Portable Data Set Copy Reassign Request Information

To: XXHR_IAT_ADHOC_INITIATOR9
Sent: 19-May-2011 12:31:46
ID: 114215

Personalize Table Layout: [http://DetailsFn.htm?DetailsAttr=rightTable]

Inter Authority Transfer - Portable Data Set Request Authorisation Karina CCN627-IAT

Appointee Name: Karina CCN627-IAT
Employee Number:

T12 Cornwall Partnership NHS Trust have given approval for the copy of the Portable Data Set for the following person to take place.

Basic Person

Last Name: CCN627-IAT
First Name: Karina
Known As:
Title: LADY
Date Of Birth: 02-MAY-1980
NI Number: RY073252C
Professional Registration No:
Unique NHS Identifier: 244

Portable Data Set - Contract Summary: Karina CCN627-IAT

Name of Current Employer: T12 Cornwall Partnership NHS Trust
Continuous Service Date 3 Mth: 12-NOV-2002
Continuous Service Date 12 Mth: 12-NOV-2002

Assignment History*

Date From	Date To	Assignment No	Job Title	Grade	Point Salary	WTE	Primary	Incremental Date
23-MAY-2010		20000252	Medical and Dental - Specialist Registrar (Closed)	NHS[CR11]A & C Grade 2	10	11420	Yes	
23-MAR-2009	22-MAY-2010	20000252	Medical and Dental - Specialist Registrar (Closed)	NHS[IMH01]Staff Grade Practitioner (Old Contract)	120	34100	Yes	
12-NOV-2002	22-MAR-2009	20000252	Medical and Dental - Specialist Registrar (Closed)				Yes	

The Portable Data Set copy can only be copied when the person has started working for you. Please select the 'Perform Portable Data Set Copy' action once you have an employee record.

* Note that the number of lines of Assignment History in the approval will be limited to 25. All Assignment History lines, however, will be copied as part of the Portable Data Set.

Action History

Num	Action Date	Action	From	To	Details
1	19-MAY-2011 12:31:46	Submit	CCN627-IAT, Diane	XXHR_IAT_ADHOC_INITIATOR9	

Return to Worklist
☐ Display next notification after my response

Cancel Perform Portable Data Set Copy Reassign Request Information

Diagnostics Home Logout Preferences Help Personalize Page

About this Page

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6.8. Completion Notification

Once the information has been copied to the core system, both the Previous Employing Authority and Requesting Employing Authority will receive a completion notification.

NHS ESR
N > Initiate IAT Transfer> IAT Worklist
Worklist

NHS FDEV Requests

Diagnostics Home Logout Preferences Help Personalize Page

Worklist


View: All Notifications Go

Select Notifications: Open Reassign Close Previous 1-25

Select All Select None

Select From	Type	Subject	Sent	ID
<input type="checkbox"/> CCN627-IAT, Henry	HR WPM Plan	Rolled back T11 Brand New PMP	01-Jun-2011	
<input type="checkbox"/> CCN627-IAT, Henry	HR WPM Plan	Rolled back T11 New PMP	26-May-2011	
<input type="checkbox"/> XX Inter Authority Transfer Approval		Inter Authority Transfer - Portable Data Set Copy Confirmation Even CCN627-IAT	06-Jun-2011	
<input type="checkbox"/> CCN627-IAT, Henry	HR WPM Plan	Rolled back T11 CCN670 New PMP 002	01-Jun-2011	

Click on the 'Portable Data Set Copy Confirmation' hyperlink in the **Subject** area of the notification that applies to your employee to open the Notification Details window.


Requests

[Diagnostics](#)
[Home](#)
[Logout](#)
[Preferences](#)
[Help](#)
[Personalize Page](#)

[Worklist](#) >

Information
 This notification has been closed and did not require a response.

Inter Authority Transfer - Portable Data Set Copy Confirmation Evan CCN627-IAT

To: **CCN627-IAT, Tai** [Personalize Table Layout: \(NtfDetailsFn.NtfDetailsAttr.rightTable\)](#)
 Sent: **06-Jun-2011 15:29:24**
 Closed: **13-Jun-2011 13:14:28**
 ID: **117614**
 Responder: **CCN627-IAT, Tai**
 The IAT process to copy the Portable Data Set for Evan CCN627-IAT from T12 Cornwall Partnership NHS Trust was completed successfully.

Please note:
 A copy of the Portable Data Set for Evan CCN627-IAT has been taken from T12 Cornwall Partnership NHS Trust and released to T11 North East Wales NHS Trust on 06-JUN-2011. This Portable Data Set consists of the following Personal information:

	Portable Data Set Value	Value after Copy	Updated by Copy
Last Name	CCN627-IAT	CCN627-IAT	No
First Name	Evan	Evan	No
Title	Mr.	Mr.	No
Middle Name	Laurence	ccn668-test	No
Marital Status	Single	Single	Yes
Nationality	Liberian	Liberian	Yes
Known As			No
Previous Last Name			No

This notification will show data held in ESR by the employee record before and after the Portable Data Set copy has occurred and also advises if Occupational Sick Pay (OSP) data has been taken as part of the PDS. The data present in the employee record may be more recent and accurate (e.g. from NHS Jobs) than the data held by the IAT Portable Data Set. If the field in the Portable Data Set contains different data to the field already in ESR, the field in ESR will not be overwritten, except for the CSD dates. This is because a calculation takes place and amends the dates where a gap in service is found between the employee's last day at their previous trust and first day at their new employing trust. These dates can be subsequently amended if required.

This notification will inform of any discrepancies between the data sets which will need to be checked. The correct data when confirmed should then be manually entered into the employee record. The notification does not require a response.

Full details about what has transferred is available in the IAT Detailed Data Set Report (see Reports, Section 10 below).

7. Information contained in the Portable Data Set

Data Type	Fields	
Personal Data	<ul style="list-style-type: none"> Last Name First name Title Middle Name Marital Status Email Address (nhs.net only) 	<ul style="list-style-type: none"> Nationality Preferred Name Previous Last Name Maiden Name Date of Birth National Insurance Number
Address Data	<ul style="list-style-type: none"> Style Address Type Address Lines 1, 2 & 3 	<ul style="list-style-type: none"> Town County Postcode Country
Training (including learning history for national courses. Local completed courses are transferred to the external learning tab)	<ul style="list-style-type: none"> Date Duration Duration Units Status Supplier Source -Indicator 	<ul style="list-style-type: none"> - Date on which training was completed - The stage in which the person is at - External organisation or individual that provided Training - Indicates where the training entry was created. <p>Information transferring through as part of the portable data set will be identified as IAT.</p>
National e-Learning enrolments	<ul style="list-style-type: none"> Open National e-learning enrolments Active national learning path subscriptions 	<p>All open e-learning enrolments will be transferred from the previous employer to allow the employee to continue to play the class.</p> <p>Where an employee is subscribed to a nationally created learning path the full learning path will be transferred.</p>
Competencies (National Only)	<ul style="list-style-type: none"> Competence Proficiency Level Date From Date To 	<ul style="list-style-type: none"> Source of Proficiency Rating Certification Method Certification Date Certification Next Review
Qualifications	<ul style="list-style-type: none"> Type Title Status Grade Start Date End Date Award Date 	<ul style="list-style-type: none"> Subject Details: <ul style="list-style-type: none"> ➤ Subject ➤ Status ➤ Start Date ➤ End Date ➤ Grade
Employment History (Previous Employer)	<ul style="list-style-type: none"> Employer Address Country Type Description Start Date End Date Years Months Days Previous Job/Start Date Job (or Role) Reason for Leaving 	<ul style="list-style-type: none"> Employee Category Previous Job / Years Previous Job / Months Previous Job / Days Employment Category Grade Scale Point Salary Hours Occupation Code Position (Post Title) Incremental Date WTE

Data Type	Fields
	<ul style="list-style-type: none"> • Regular User Yes/No • Total of Regular user miles • Total of Standard user miles • Pension override end date • Redundancy flag (Y if a redundancy element is attached +/- 2 months of leaving month) (See note below table)
Assignment History <i>(The following information relating to Assignments is part of the Portable Data Set and is mapped to the previous employer's information)</i>	<ul style="list-style-type: none"> • Employer • Address • Type • Description • Assignment Start Date (Earliest) • Assignment End Date (Latest*) • Previous Employer / Years • Previous Employer / Months • Previous Employer / Days • Assignment Start Date • Assignment End Date • Job (or Role) • Employee Category • Previous Job / Years • Previous Job / Months • Previous Job / Days • Employment Category • Grade • Scale Point • Salary • Hours • Occupation Code • Position (Post Title) • Incremental Date • WTE • Start Date In Grade
Service Dates	<ul style="list-style-type: none"> • Date of Entry to NHS - The date on which the employee first entered NHS employment, regardless of breaks in service. • Previous Employing Authority Pension End Date - The date the pension payments ceased, which can be after an employee has left the previous Employing authorities as a result of unused annual leave etc. • CSD 1 Week Not transferred in the PDS but given for information on the PDS Request Authorisation Notification. The date is a marker from which the 104 week qualifying period for redundancy pay is calculated from. This needs to be identified and established by the employing Trust for all new starters to identify any who take unpaid time between employments. • CSD 3 Months } • CSD 12 Months } CSD 3 and 12 months dates – a calculation is made at the point of transfer to determine if there was a gap in service between the leaving date at previous trust and start date at new trust. Where this occurs the CSD dates are adjusted accordingly and overwrites the dates (if any) in the destination trust. Trusts may change these dates if required after the PDS has been transferred

Data Type	Fields	
	<ul style="list-style-type: none"> Loss of Office Payment Date Loss of Office Reckonable Service Date NHS Pensioner Date NHS Pension Benefit Paid to 	<p>Shows that payments (Redundancy, VSS, MARS) have been paid up to and including that date. Will not overwrite any existing date.</p> <p>A marker from which any future reckonable service for redundancy or loss of office payment is calculated from in conjunction with the new field CSD 1 week that would commence from the same date. Will not overwrite any existing date</p> <p>A flag to identify employees who have received/are in receipt of benefits from the NHS Pension Scheme</p> <p>linked to the redundancy rules to ensure that reckonable service and continuous service are correctly established for any future redundancy calculations</p>
Payroll Information (Pay Element)	<ul style="list-style-type: none"> Pension Add Yrs Full 1 NHS Pension Add Yrs Full 2 NHS - Pension Add Yrs Full 3 NHS Pension Add Yrs Half 1 NHS Pension Add Yrs Half 2 NHS Add Pension Purchase 1 NHS Add Pension Purchase 2 NHS Add Pension Purchase 3 NHS 	<ul style="list-style-type: none"> Pension Lump Sum 1 NHS Pension Lump Sum2 NHS Distinction Award NHS * SD Number ** <p><i>* Distinction Award element is only transferred if the IAT process is completed prior to the end date of the previous employment.</i></p> <p><i>** NHS Pensions have advised that the SD Number should only be used for recently terminated pensioned employments. If there is a lengthy gap between pensioned employments it may be that the employee has had a refund and the SD Number may no longer be applicable to that employee.</i></p>
Parental Leave	<ul style="list-style-type: none"> Absence Start Absence End Duration Days 	
Sickness Absence (see also section 8)	<ul style="list-style-type: none"> Original 'Trust' Transfer 'Trust' Absence Start Date Absence End Date 	<ul style="list-style-type: none"> Element Name Days Industrial Injury Flag Element Start Element End
Recruitment	<ul style="list-style-type: none"> Recruitment Source 	Set to NHS Organisation and populated with approver trust's details
Extra Information	<ul style="list-style-type: none"> Registrations & Memberships EIT (match is only against Professional Body/Number and Expiry Date) 	<ul style="list-style-type: none"> Clinical Excellence Award elements

Note – Redundancy Payment Received

Using the calendar month that the actual termination date (of the source record) falls in as the 'current' month, ESR will check if there is an element entry for an element matching "Redundancy Pay NR % NHS" within a date range of +/- 2 whole calendar months of the 'current' month. This provides for a potential 5 calendar month window to search in.

If an element entry is found, set this flag to be "Yes", otherwise it will be left blank. Note that the element entry merely needs to exist within this search time-frame; the entry does not have to have been processed.

8. Transferring sickness absence history

When the IAT Portable Data Set is copied, 12 months of sickness data is transferred automatically to an employee's record. The workflow notification and the detailed PDS report will advise the user when no OSP data has been transferred as part of the PDS.

N.B. it is worth pointing out at this stage that as part of the process of setting up the employee, the HR Admin URP holder should have allocated the relevant Sickness scheme e.g. OSP to the employee record.

The data provided is detailed below.

Sickness Data:

- Original 'Trust'
- Transfer 'Trust'
- Absence Start Date
- Absence End Date
- Element Name
- Days
- Industrial Injury Flag
- Element Start
- Element End

Absence reasons are not transferred.

Absence information will be copied into an Occupational Sick Pay Transfer area, for validation and acceptance by **IAT Initiator**.

To view this data: -

- Use the Inter Authority Transfer Initiation URP
 - Go to IAT OSP Transfers
 - Select the employee
 - Absence history is then displayed

This process does not enter actual absence records (as this is done automatically as part of the PDS copy). The purpose of the process is to change the employee's entitlement of full and half days pay by the total days the employee has been absent in the last 12 months.

After the PDS has been copied each period of absence is shown as a separate entry on the OSP form. Users can review the contents to establish which periods of absence actually affect OSP entitlement in the new Employing Authority. Click on the 'Valid' check box for each valid absence period which will then be, deducted from the employee's entitlement.

[illegible]

9. NHS IAT Operations EIT

The "NHS IAT Operations" EIT (HR Administration URP > Fastpath > View IAT Operations EIT) holds the following information relating to the Inter Authority Transfer process:

- IAT Operation (such as PDS Taken, Approved etc)
- IAT Operation Date – the date the IAT Operation took place
- IAT Operation User – the ESR User ID of the user responsible for the IAT Operation
- Source VPD
- Destination VPD

Extra Person Information

IAT Operations Date: 03-MAY-2011

IAT Operations Operation: PDS Requested

IAT Operations User: 504TRAIN03

IAT Operations Source VPD: 501

IAT Operations Destination VPD: 504

OK Cancel

The IAT process will maintain this EIT at various points throughout the process. These stages are:

- PDS Requested
- Approved
- No Match Found
- No IAT Approver
- Request Timed Out
- PDS Copy Failed
- PDS Applied
- PDS Taken

10. IAT Reports

There are four IAT specific reports available for users:

- NHS IAT Operations Tracking Report
- NHS IAT Detailed Data Set Report
- NHS IAT Exceptions Report
- NHS IAT Audit Report

10.1 NHS IAT Operations Tracking Report

This report enables a Trust to report upon the NHS IAT Operations EIT, both current and historic, by way of an effective date parameter. Other parameters for this report enable the report data set to be restricted by organisation, staff group and IAT status.

The screenshot shows a 'Submit Request' dialog box with a 'Parameters' sub-dialog. The main dialog has fields for 'Name' (NHS IAT Operations Tracking Report), 'Operating Unit', 'At these', 'R', and 'Upon Con'. The 'Parameters' sub-dialog has fields for 'Starting Organization', 'Main staff group1', 'Main staff group2', 'Status 1', 'Status 2', and 'Effective Date' (11-MAY-2011). It also has 'OK', 'Cancel', 'Clear', and 'Help' buttons. The main dialog has 'Help (C)', 'Submit', and 'Cancel' buttons at the bottom.

This report will be provided to the following URPs:

- XXX IAT Initiation
- XXX IAT Approval
- XXX HR Manager
- XXX HR Administration
- XXX HR Administration (with RA)
- XXX HR Data Entry
- XXX HR Data Entry (with RA)
- XXX Payroll Super Administration
- XXX Payroll Administration
- XXX Payroll Data Entry
- XXX Payroll Audit
- XXX Pensions Administration
- XXX Occupational Health Administrator



NHS Inter Authority Transfer (IAT) Report IAT Operations Tracking

Starting Org : T19 Medical Directorate
Staff Group 1 : All Staff Groups
Staff Group 2 : N/A

Effective Date: 28-Jan-2010
IAT Status 1 : All IAT Statuses
IAT Status 2 : N/A

T19 Information Management Qemc

Person Type	Number	First & Last Names	Staff Group	Initiating User	Approving Trust	Eligible for OH processing	Recruitment Source	Last Update Operation	Date / User
Employee	20000280	Test01	Administrative and Clerical	T19CCN534I NIT1	T18	Yes	NHS Organisation	PDS Applied	28-Jan-2010 T19CCN534I NIT1
	20000283	Test04	Administrative and Clerical	T19CCN534I NIT1	T18	Yes	NHS Organisation	PDS Requested	28-Jan-2010 T19CCN534I NIT1

10.2 NHS IAT PDS Full Details Report

This report enables an Employing Authority to report upon the content of a recently completed IAT PDS copy process. Personal details will show the values from the source VPD and Target VPD and indicate whether the value was updated by the PDS copy. Other data areas will report the details of items copied across, or give an indication that no data was available for a given data area.

Note: This report excludes Occupational Health Data transferred securely at the pre employment stage to the Occupational Health Administrator at the destination trust.

Submit Request

Run this Request...

Copy...

Name: NHS IAT PDS Full Details Report

Operating Unit:

Parameters:

Language: American English

Language Settings... Debug Options

Parameters

IAT Person:

OK Cancel Clear Help

Notify:

Print to: noprint

Help (C) Submit Cancel



NHS Inter Authority Transfer (IAT) Report Full Portable Data Set Details

Report for: CCN534, Mrs. Test06 Approved (Mandy)
Source Trust: T18 Good Hope Hospital NHS Trust

Personal data

Data Item	Value in Source Trust	Value in Destination Trust	Updated by PDS Copy?
Last Name	CCN534	CCN534	No
First Name	Test06	Test06	No
Title	Mrs.	Mrs.	Yes
Middle Names	Approved	Approved	Yes

Addresses

Style & Type	Effective Dates	Address
GB Home	18-Feb-2010 to Present	15, IAT Street Transfer Road ESR Warwick Warwickshire CV31 3DD United Kingdom

Sickness Absence

Source	Target	Absence dates	Element Name	Days	Industrial Injury?	Element Dates
T18	T19	15-May-2009 to 15-Jun-2009	OSP Full NHS	17		15-May-2009 to 31-May-2009
T18	T19	15-May-2009 to 15-Jun-2009	OSP Half NHS	1		15-Jun-2009 to 15-Jun-2009
T18	T19	15-May-2009 to 15-Jun-2009	OSP Full NHS	14		01-Jun-2009 to 14-Jun-2009

Portable Special Leave

Start Date	End Date	Days
30-Dec-2009	06-Jan-2010	8

Most recent previous employment

Employer: T18 Admissions Office			
Employer Address		Good Hope Hospital NHS Trust, Rectory Road, , Sutton Coldfield, WTM, B75 7RR United Kingdom	
Employer Type		Public Sector	
Description			
Employment dates		01-Jun-2009 to	
Reason for Leaving			
Regular user flag		N	
Total of regular user miles			
Total of standard user miles		125	
Related previous jobs			
Job Dates		01-Jun-2009 to	
Job Name		Administrative and Clerical/Clerical Worker	
Employee Cat.	Part Time	Employment Cat.	Permanent
Grade	NHS\XN02\Non Review Body Band 2	Scale Pt. 70	Salary: 13944
Grade Date	28-Mar-2008	Hrs: 7.5	Inc. Date: WTE: .2
Occupation Code	Clerical and Administrative Clinical Support		
Position	48003/Administrator Band 2\G2D\Administration		
Pens Override Date	31-Oct-2009	Redundancy payment received?	N

E-Learning data**National Learning Path subscriptions**

Learning Path Name	NHS CCN534 Path		
Path Status	COMPLETED	Comp. Target Date	
No. completed courses	1	No. mandatory courses	1
Path Source	Administrator	Completion Status	
Progress		Completion Date	18-Feb-2010
Start Date Active	12-Aug-2009	End Date Active	

National Enrollments (current)

Course Name / Offering Name	Player Status	Enrollment Date & Status	Date first played	Score	Total Time (seconds)
NHS CCN534 Class 2 / NHS CCN534 Online Offering 2		18-Feb-2010 Confirmed			

National Enrollments (history)

Course Name / Offering Name	Player Status	Enrollment Date & Status	Date first played	Score	Total Time (seconds)
NHS CCN534 Class 1 / NHS CCN534 Online Offering 1		18-Feb-2010 Completed			

Payroll Elements: Pension-related**Pension Add Yrs Full 1 NHS**

Pay Value	Employee Percentage	Chosen Age	Yrs Purchased	Days Purchased	Date Worked
	2.00	65	10	50	

Payroll Elements: Others**Distinction Award NHS**

Scheme	Allowance Type	Annual Rate	Period Cash Amount	Annual Rate	Date Worked	Commencement Date	Review Date
NHS	Distinction Award A	2400.00	200.00	55098.00		01-JAN-2009	31-DEC-2009

Clinical Ex Award NHS

Scheme	Allowance Type	Annual Rate	Date Worked
NHS	CEA Level 1	2913.00	

Registration & Memberships

Body	Membership Number	Expiry Date	Date first registered	Revalidation Date
General Medical Council	1234567	31-Dec-2011	01-Jan-2009	30-Nov-2011
Other	abc123	31-Dec-2010	01-Jan-2008	30-Nov-2010

*** End of Report ***

This report will be provided to the following URPs:

- XXX IAT Initiation
- XXX IAT Approval
- XXX HR Manager
- XXX HR Administration
- XXX HR Data Entry

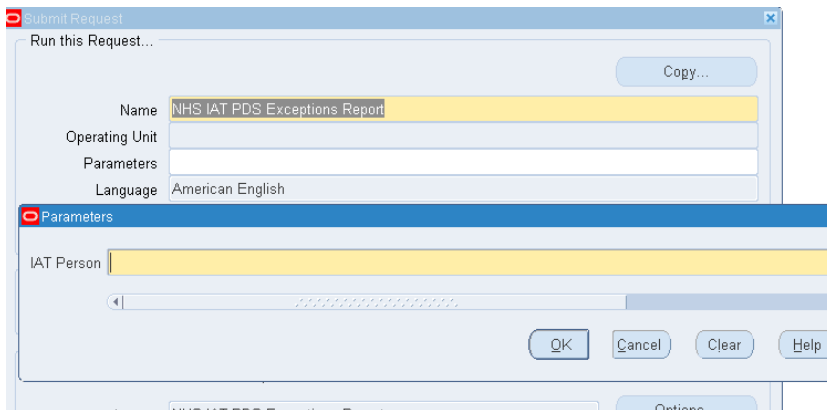
Details will only be available to be reported upon for a period of 45 days from the successful completion of the PDS Copy process. A house-keeping process will automatically remove the data from the reporting storage area once 45 days have elapsed.

10.3. NHS IAT PDS Exceptions Report

This report enables an Employing Authority to report upon certain data exceptions which may have occurred during a recently completed IAT PDS Copy process. Areas covered by this exceptions report are:

- Personal Data – items will be reported where they were provided by the source VPD but not used to update the target VPD because the value provided was different to the value already present in the target VPD.
- Address Data – this will be reported if an address was supplied by the source VPD but a (different) primary address already existed in the target VPD
- Sickness Absence – if there was no OSP data to transfer across from the source VPD then a warning message will be included to indicate this.
- Payroll Elements – If source payroll element data could not be copied across to the target VPD then these items will be reported.

Exceptions will not include any data items found in the source VPD that have an exact match in the target VPD.



NHS NHS Inter Authority Transfer (IAT) Report Portable Data Set Exceptions

Report for: CCN534, Dr CSD2 30day (Gill)
Source Trust: T18 Good Hope Hospital NHS Trust

The following exception report contains data provided by the source trust as part of the IAT process, but which has not been used to update the person record in the target trust. Exceptions will not include any data items found in the source trust that have an exact match in the target trust. Refer to the Full PDS report for details about all data items transferred.

Personal data

The following personal data was provided by the source trust but has not been used to update the person record in the target trust. However the value that was provided is different to the value already in the target trust.

Data Item	Value as supplied by Source Trust	Value in Target Trust
Title	Mr	Dr

This report will be provided to the following URPs:

- XXX IAT Initiation
- XXX IAT Approval
- XXX HR Manager
- XXX HR Administration
- XXX HR Data Entry

10.4. NHS IAT Audit Report

This report enables an Employing Authority to report on both Inbound (IATs requested) and Outbound (IATs received) in a defined period and whether these were undertaken by the Auto IAT process or not.

NHS IAT Audit Report													
Report run: 17-Jun-2011 11:45:35													
Parameters													
Date From: 01-Mar-2011													
Date To: 17-Jun-2011													
IAT Type: Inbound and Outbound IAT													
Inbound IAT													
Last Name	First Name	Title	Employee Number	Application Number	Date IAT Initiated	IAT Initiator Name	Source Trust	Destination Trust	Date IAT Approved	IAT Approver Name	Date PDS Copied	PDS Copied by	Auto IAT Approval?
Bird	Chris	MR.	20000816		07-Jun-2011	Green, Mr. Jim	T12 Cornwall Partners hip NHS Trust	T11 North East Wales NHS Trust	07-Jun-2011	Green, Mr. Jim	07-Jun-2011	Green, Mr. Jim	Yes
CCN627-IAT	Elena	MISS	20000418		13-May-2011	CCN627-IAT, Mr. Tai Jake	T12 Cornwall Partners hip NHS Trust	T11 North East Wales NHS Trust	13-May-2011	CCN627-IAT, Mr. Ainsley Ricky	13-May-2011	CCN627-IAT, Mr. Tai Jake	No

11. Selected Error Messages

Below are the most common errors messages. **Appendix 1** provides a more substantial list that users may come across during the IAT process. Error messages are more prevalent where the non Auto IAT process is used.

11.1. No IAT Approver at Previous Employing Authority

The IAT Initiation Request you submitted on <date> for <first name> <last name> was unable to locate an IAT process Approver at Previous Employing Authority.

To progress your IAT request, please contact the Human Resource Department at Previous Employing Authority and inform them that they do not currently have an IAT Approver Role.

Once this request has been actioned, please resubmit your IAT Initiation Request.

11.2 . Time Out

Your request for the Portable Data Set for <First Name> <Last Name> has timed out.

Please contact the Human Resources Department at Previous Employing Authority to discuss your requirement.

You should then re-try the IAT process from the point of initiation.

11.3. No Match

Your request for the Portable Data Set for <First Name> <Last Name> has been processed by Previous Employing Authority.

Previous Employing Authority was unable to locate a record meeting the match criteria for <First Name> <Last Name>, and have provided the following comments

<Comments>

Please check that Previous Employing Authority was a correct selection as a holder of a record for <First Name> <Last Name>.

If you are satisfied that Previous Employing Authority was a valid selection, please contact the HR Department at Previous Employing Authority.

If Previous Employing Authority was not a valid selection, identify the correct employer.

In either case, you can then re-run the IAT process from the point of initiation.